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Guideline for Implementation of the Standardized SIP Filing System

(U.S.) Environmental Protection Agency
Research Triangle Park, NC

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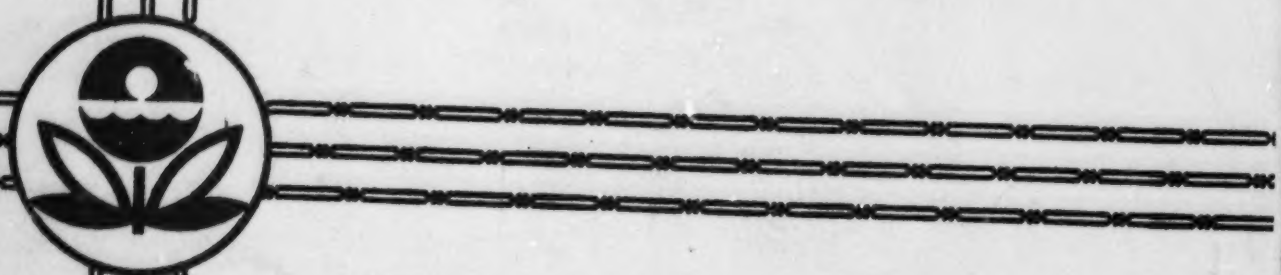
GUIDELINE FOR IMPLEMENTATION OF THE STANDARDIZED SIP FILING SYSTEM



U.S. ENVIRONMENTAL PROTECTION AGENCY

Office of Air Quality Planning and Standards

Research Triangle Park, North Carolina

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These guidelines are intended to provide a standardized format to organize documents related to State Implementation Plans (SIPs). It is being offered as an optional system for use by all Regional and headquarters offices. The system was developed in cooperation with the Regional Offices' participation and comments have been included in this system.

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DATE: 27 JUL 1977

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

SUBJECT: SIP Filing System

FROM: Walter C. Barber, Director
Office of Air Quality Planning and Standards

TO: Directors, Air and Hazardous Materials Division, Region I, III-X
Director, Environmental Programs Division, Region II

A number of Regions have initiated programs to improve SIP filing systems and have suggested that OAQPS provide guidance to develop a measure of uniformity in the filing system. In addition, the Office of General Counsel has urged that required SIP filing standards be established to assure convenient public availability of documents and to ensure effective management of the contents of each SIP. My staff has been working with your respective staffs to develop a standardized filing system. Based on the comments received, guidelines for a standardized SIP filing system have been completed.

Basically, the standardized filing system consists of the three elements identified below. The enclosed guideline, which should be employed when implementing the standardized filing system, allows maximum consistency among headquarters' and Regional Offices' files yet adequate flexibility to accommodate specific Regional needs.

Part 1. A Chronological File contains all SIP revisions in a chronological, dated form.

Part 2. A Master Log Sheet (MLS) has been developed as a standardized topical index for all files. The MLS index references submissions within the Chronological File, but the subject list can be expanded and altered according to Regional needs.

Part 3. Subject Files are a compilation of the regulations and updates pertaining to one subject category.

Regions may implement the new system at their own discretion. However, you should be aware of the requirement contained in the House's version of the Clean Air Act (CAA) amendments which requires this Agency to assemble and publish on an annual basis a document setting forth all requirements of each State's implementation plan. It is anticipated that these documents will be the responsibility of each Regional Office. The format will be consistent with this filing system.

I trust that you will find this new system suitable for your needs. Any questions regarding the new system should be referred to Charles Pratt or Bob Schell, (629-5365).

Enclosures

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GUIDELINE FOR IMPLEMENTATION OF THE STANDARDIZED SIP FILING SYSTEM

Introduction

These guidelines are intended to provide a standardized format to organize documents related to State Implementation Plans (SIPs). It is being offered as an optional system for use by all Regional and headquarters offices. The system was developed in cooperation with the Regional Offices' participation and comments have been included in this system.

Both the Chronological and Subject Files should be organized in three-ring notebooks, for maximum ease in updating and xeroxing sections. Regions may elect to bind the Chronological File periodically. A list of the subjects with their numeric identifiers (see Table I) should be included inside the front cover, as well as any pertinent instructions for file usage.

Submission Date

Both the Chronological File and Master Log Sheet (MLS) require a date as the organizational key.

An official date must be determined from the material submitted. The date on which the Governor submitted the package to the Regional Administrator or the date of the proposed promulgation for Federal actions normally serves as the official date. Exceptions to this general requirement should be noted and explained (i.e., in cases where the Administrator bypasses proposed rulemaking and promulgates a regulation, then the promulgation date would be used). If in the unlikely event that two or more revisions are sent by a Governor on the same date, each will have a different letter of the alphabet added to the date as a suffix.

Identifiers

A numerical key has been developed to codify all the MLS topics. Each number is broken into a maximum of four sections as follows:

a.b.c.d (ex., 5.0.1.1)

a = general subject area contained in file. These ranging from 1 to 19, are enumerated in Table I; numbers can be added whenever the file requires expansion.

b = Area within the State to which a regulation pertains.

c = subtopic within the major file subject area.

d = subdivision under a subtopic.

Ex., 6.1.5 (a.b.c)

6 = Regulations: the file subject area

1 = San Diego County, California: the location

5 = Hydrocarbon: the subtopic

Some States have no regional areas and the "b" space would be 0; i.e., all SO_2 regulations throughout Maine would be identified by 5.0.2. But, where counties or other delineated areas with a State have separate regulations and control strategies, the SIP files must utilize an established number for each area. These numbers should be permanently established and listed at the beginning of the files.

c = subtopic within the major file subject area.

d = subdivision under a subtopic.

Ex., 6.1.5 (a.b.c)

6 = Regulations: the file subject area

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CONTENTS OF NEW FILING SYSTEM

Part 1. CHRONOLOGICAL FILE

This file stores each action by date. It will contain all official materials and Federal Register actions (i.e., letters from the Governor, letters from the Regional Administrator, Federal Register packages, etc.).

Part 2. MASTER LOG SHEET (MLS)

The MLS indexes important topics contained within every submission with a numeric code from 1.0 to 19.0. New topics will be added as future needs dictate.

The following descriptions briefly outline the pertinent submissions and their respective codification.

General Definitions (1.0.)

Most SIPs have a section which contains definitions of terms to be standardized in usage throughout the document. It may be referred to as a Glossary or Definition Section. For example, in the case of the Wyoming SIP, pages G 1 and 2 are indexed as 1.0. at the date 12/15/74. Specific definitions pertaining to the emission regulations would, however, be indexed as 6.0.0.

Attainment Dates and Extensions (2.0.)

The Clean Air Act (CAA) provided an option to those States with extremely difficult problems to extend the attainment date for a pollutant for specified periods of time. Although, most of the attainment dates have or will have passed in the near future, some States may seek an extension for meeting the attainment date for new criteria pollutants.

Classification of Regions (3.0.)

Classification and designation of Air Quality Control Regions (AQCRs) and Air Quality Maintenance Areas (AQMAs) should be referenced here.

Public Availability of Emissions Data (4.0.)

This category should contain the statute or regulation providing for the public availability of emissions data.

Legal Authority (5.0.)

This category should contain the statute which provides legal authority for carrying out the requirements of the State's CAA.

Control Strategy (6.0.)

All of the control strategy materials will be referenced as 6. This file has a three number code: (i.e., 6.--represents the file number; the second number--represents the area of impact within the State; and, the third digit--indicates the pollutant for which the strategy was developed.) Pollutant specific control strategies are listed under the third level identifier in the following order: .1.--particulate (TSP); .2.--sulfur dioxide (SO_2); .3.--carbon monoxide (CO); .4.--oxidants (O_x); .5.--oxides of nitrogen (NO_x); and, .6.--is reserved for lead (Pb).

Rules and Regulations (7.0.)

The section containing the rules and regulations has been subdivided into many parts. File 7.0.0. contains the definition and administrative portion of the control regulations. For instance, this would include the description of the agency, the description of the duties of the director, definition, administrative procedures, etc. If desired, a fourth level identifier could be used to separate the identifiable nonenforceable items in the control regulations. Due to the variety of styles found in control regulations, the Rules and Regulations file must be modified to meet the needs of each State.

As explained in the previous section, the third level identifier is used to indicate the particular pollutant or type of regulation to be filed in each section. In the first seven subfiles the third level identifiers are the same as the third level identifier for the control strategy file, i.e., .1.--TSP; .2.--SO_2; .3.--CO; .4.--HC; .5.--NO_x; and, .6.--Pb. Additional categories may be needed by some States: .7.--malfunctions; .8.--source specific (i.e., a power plant); .9.--odor regulations; .10.--supplementary control system. Fourth level identifiers pertain to subdivisions of the third level identifiers; visible emissions (7.0.1.1.) and process weight (7.0.1.2.) fall under particulates.

Compliance Schedules (File 8.0.)

This category contains the revision related to source compliance schedules.

New Source Review (9.0.)

Review of new and modified sources regulations and permits will be referenced under this section. Subfile would include 9.0.1.--stationary sources and 9.0.2.--indirect sources.

Episodes (10.0.)

Episode Control Plans would be referenced as 10.0.

Continuous Emission Monitoring (11.0.)

Source Surveillance procedures and regulations would be filed under 11.0.

Air Quality Surveillance (12.0.)

Air Quality Surveillance Plan and procedures would be referenced under this section.

State Ambient Standards (13.0.)

This topic contains the State Ambient Standards.

Prevention of Significant Deterioration (14.0.)

Number 14.0. refers to all the information on the Prevention of Significant Deterioration (PSD) regulations and plans.

Maintenance Plans (15.0.)

This category includes all maintenance plans developed pursuant to 40 CFR Part 51.

Request for One-Year Postponements (16.0.)

Request and information on applications for one-year postponements to the applicable control regulations are filed in this section, (and hearing records and completed applications from sources, if desired).

Variances (17.0.)

Applications and actions related to the granting or denial of variances.

New Source Performance Standards (NSPS) (18.0.)

State NSPS regulations are referenced in this section.

National Emissions Standards for Hazardous Air Pollutants (NESHAPS) (19.0.)

This section pertains to State NESHAPS and any supportive materials.

Part 3. SUBJECT FILES

Subject files are a compilation of the regulations and updates pertaining to one subject category (ex., 1 file for SO_2 related documents; 1 file for New Source Review, etc.). Establishment of these files is recommended whenever such a reference file might be useful to the Region. The files contain full texts (not just reference numbers as in the MLS), but only pertain to actual submissions. Subject files may be useful for accumulating specific documents for one State or also within an entire Region, depending upon need.

Because of the labor input and funding involved, systemized subject files cannot be required. In most cases, Regions already have their own filing categories which pertain to Regional needs. Because of the increasing number of questions raised with certain issues, we recommend that each Region set up the following subject files:

Public Availability of Emissions Data
Regulations - Administrative
Particulates
SO_2
CO
HC
NO_x
Pb
New Source Review
Continuous Emission Monitoring
Prevention of Singificant Deterioration

This represents a minimal number of subject files that we feel are important to maintain. Hopefully, others will be added from the MLS list as time and manpower become available.

TABLE I

MASTER LOG SHEET
(Suggested Topical Index)

1.0. — GENERAL DEFINITIONS

2.0. — ATTAINMENT DATES AND EXTENSIONS

3.0. — CLASSIFICATION OF REGIONS

4.0. — PUBLIC AVAILABILITY OF EMISSIONS DATA

5.0. — LEGAL AUTHORITY

6.0. — CONTROL STRATEGY

- 6.0.1. — Particulates
- 6.0.2. — SO_2
- 6.0.3. — CO
- 6.0.4. — O_x
- 6.0.5. — NO_x
- 6.0.6. — Pb

7.0. — RULES AND REGULATIONS

- 7.0.1. — Particulates
  - 7.0.1.1. — Visible Emissions
  - 7.0.1.2. — Process Weight
- 7.0.2. — SO_2
- 7.0.3. — CO
- 7.0.4. — HC
- 7.0.5. — NO_x
- 7.0.6. — Pb
- 7.0.7. — Malfunctions
- 7.0.8. — Source Specific
- 7.0.9. — Odor Regulations
- 7.0.10. — Supplementary Control System

8.0. — COMPLIANCE SCHEDULES

9.0. — NEW SOURCE REVIEW

9.0.1. — Stationary Sources

9.0.2. — Indirect Sources

10.0. — EPISODES

11.0. — CONTINUOUS EMISSION MONITORING

12.0. — AIR QUALITY SURVEILLANCE

13.0. — STATE AMBIENT STANDARDS

14.0. — PREVENTION OF SIGNIFICANT DETERIORATION

15.0. — MAINTENANCE PLANS

16.0. — REQUEST FOR ONE-YEAR POSTPONEMENT

17.0. — VARIANCES

18.0. — NEW SOURCE PERFORMANCE STANDARDS

19.0. — NATIONAL EMISSIONS STANDARDS FOR HAZARDOUS AIR POLLUTANTS

State _____

MASTER LOG SHEET

Submission Date	Identifiers
ex. 4/20/72	5.0., 7.0.5.

(The above example would be interpreted as follows: Under April 20, 1972, a submission was entered containing Legal Authority & State Statutory Provisions, and Hydrocarbon Regulations.)